



Form PTO-1449

Docket Number	Application Number
23449-010	09/722,050
Applicant(s)	
Joseph G. GATTO	
Filing Date	Group Art Unit
November 27, 2000	3624

U.S. PATENT DOCUMENTS

[illegible]

RECEIVED

FEB 12 2003

GROUP 3600	
------------	--

RECEIVED

FEB 05 2003

TECHNOLOGY CENTER R3700

FOREIGN PATENT DOCUMENTS

[illegible]

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

DATE CONSIDERED _____

N. Subarna

9/17/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

#11



Electronic Information Disclosure Statement

SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

Application: 
09/722050

Confirmation: 4426

Applicant(s): Joseph GATTO

Docket
Number: 23449-010

Group Art
Unit: 3624






Examiner: Jagdish Patel

search string: (5006998 or 5132899 or 5502637 or 5675746 or 5749077 or 5918217 or 5948054 or 5950176 or 5956691 or 6012042 or 6012043 or 6021397 or 6064986 or 6119103 or 6125355 or 6154732 or 6236980 or 6253192 or 6317726 or 6370516 or 20020019791 or 20020022988 or 20020082966).pn.

RECEIVED
FEB 12 2003
GROUP 3600

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
NJ	P01	5006998	1991-04-09		Yasunobu et al.	364	513
NJ	P02	5132899	1992-07-21		Fox	364	408
NJ	P03	5502637	1996-03-26		Beaulieu et al.	364	408
NJ	P04	5675746	1997-10-07		Marshall	395	235
							

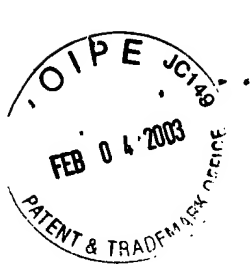
NJ	P05	5749077	1998-05-05		Campbell	705	36
↑	P06	5918217	1999-06-29		Maggioncalda et al.	705	36
	P07	5948054	1999-09-07		Nielsen	709	200
	P08	5950176	1999-09-07		Keiser et al.	705	37
	P09	5956691	1999-09-21		Powers	705	4
	P10	6012042	2000-01-04		Black et al.	705	36
	P11	6012043	2000-01-04		Albright et al.	705	36
	P12	6021397	2000-02-01		Jones et al.	705	36
	P13	6064986	2000-05-16		Edelman	705	36
	P14	6119103	2000-09-12		Basch et al.	705	35
	P15	6125355	2000-09-26		Bekaert et al.	705	36
	P16	6154732	2000-11-28		Tarbox	705	36
	P17	6236980	2001-05-22		Reese	705	36
	P18	6253192	2001-06-26		Corlett et al.	705	36
↓	P19	6317726	2001-11-13		O'Shaughnessy	705	36
NJ	P20	6370516	2002-04-09		Reese	705	36

RECEIVED
FEB 12 2003
GROUP 3600™

Published Applications

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
NJ	U01	20020019791	2002-02-14		Goss et al.	705	36
NJ	U02	20020022988	2002-02-21		Columbus et al.	705	11
NJ	U03	20020082966	2002-06-27		O'Brien et al.	705	36



Signature

Examiner Name	Date
N. Subramani	9/17/2004

RECEIVED
FEB 12 2003
GROUP 3600

#6

Page 1 of 3

FORM PTO-1449
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

LIST OF MATERIALS CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.:
56351.0000010SERIAL NO.:
09/722,050INVENTOR'S NAME:
Joseph G. GATTOEXAMINER:
to be assignedFILING DATE:
11/27/00GROUP:
to be assigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB-CLASS	FILING DATE
N.f		5	8	1	9	2	7	1	10/6/98	Mahoney et al.			
N.f		5	8	6	4	8	7	1	1/26/99	Kitain et al.			
N.f		5	8	0	2	5	1	8	9/1/98	Karaev et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
													YES	NO

OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER N. Subramaniam

DATE CONSIDERED 9/17/04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

LIST OF MATERIALS CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET
NO.:
56351.000010SERIAL NO.:
09/722,050INVENTOR'S
NAME:
Joseph G. GATTOEXAMINER:
to be assignedFILING DATE:
11/27/00GROUP:
to be assigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLAS S	FILING DATE

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTR Y	CLAS S	SUB- CLAS S	TRANSLATION
					YES NO

OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)

N.J.	International Search Report	✓
↑	BROWN et al. Composite Analyst Earnings Forecasts: The Next Generation. Journal of Business Forecasting. Summer of 1990. Vol. 9 Issue 2.	✓
	HO et al. Market Reactions to Messages From Brokerage Ratings Systems. Financial Analysts Journal. February 1998 Vol. 54, Issue 1.	✓
	LAMONICA et al. The Best and Worst: Bloomerberg's Second Annual Analysts Survey, and the Top Analysts Top Picks. Financial World 30 January 1996. Vol 165. Issue 2	✓
	http://interactive.wsj.com/public/current/summaries/best00.htm (1/5/01)	✓
	http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm (1/5/01)	✓
	http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm (1/5/01)	✓
	http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm (1/5/01)	✓
	http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm (1/5/01)	✓
	http://interactive.wsj.com/public/current/articles/SB963945615772798263.htm (1/5/01)	✓
	HERZBERG et al. Enhancing Earnings Predictability Using Individual Analyst Forecasts. The Journal of Investing. Summer 1999	✓
	Charles Schwab: Scwab Introduces Analytics Fund; Utilizes Quantitative Techniques to Seek Above-Market Returns	✓
N.J.	MOZES et al. Modeling Earnings Expectations Based on Clusters of Analyst Forecasts The Journal of Investing Spring 1999	✓

EXAMINER

N. Lubrera

DATE CONSIDERED

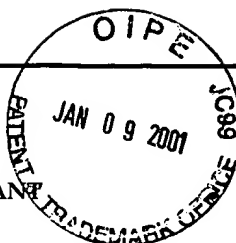
9/17/04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

LIST OF MATERIALS CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.:
56351.000010SERIAL NO.:
09/722,050INVENTOR'S NAME:
Joseph G. GATTOEXAMINER:
to be assignedFILING DATE:
11/27/00GROUP:
to be assigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB-CLASS	FILIN G DATE
N.I.	A	5	6	0	8	6	2	0	3/4/97	Lundgren			
	B	5	9	4	6	6	6	6	8/31/99	Nevo et al.			
	C	5	7	6	1	4	4	2	6/2/98	Barr et al.			
	D	5	8	5	2	8	1	1	12/22/98	Atkins			
	E	5	9	1	1	1	3	6	6/8/99	Atkins			
	F	5	6	1	3	0	7	2	3/18/97	Hammond et al.			
	G	5	8	9	3	0	7	9	4/6/99	Cwenar			
	H	5	8	1	2	9	8	8	9/22/98	Sandretto			
	I	5	7	7	4	8	8	1	6/30/98	Friend et al.			
	J	5	7	7	4	8	8	0	6/30/98	Ginsberg			
	K	5	9	0	9	6	6	9	6/1/99	Havens			
	L	5	5	0	0	7	9	5	3/19/96	Powers et al.			
	M	5	9	6	3	9	2	2	10/5/99	Helmering			
	N	5	3	6	5	4	2	5	11/15/94	Torma et al.			
N.I.	O	3	2	7	0	1	9	0	8/30/66	Lambert			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
													YES	NO

OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

N. Lubranna

DATE CONSIDERED

9/17/04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.